



hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as First Class Mail, in an envelope addressed to: MS Missing Parts, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on the date shown below.

Dated: 9/13/04 Signature: [Signature]  
(Ginny Blundell)

Docket No.: CTCH-P01-016  
(PATENT)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent Application of:  
Baltimore et al.

Application No.: 10/656531

Confirmation No.: 8769

Filed: September 5, 2003

Art Unit: 1645

For: USE OF CHIMERIC NUCLEASES TO  
STIMULATE GENE TARGETING

Examiner: Not Yet Assigned

**NOTIFICATION OF LOSS OF ENTITLEMENT TO SMALL ENTITY STATUS**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

Assignee, California Institute of Technology, hereby notifies the Patent and Trademark Office that it is not entitled to status as a small entity, and that the claim for small entity status filed by the Applicant is hereby withdrawn.

Applicant believes no fee is due with this response. However, if a fee is due, please charge our Deposit Account No. 18-1945, under Order No. CTCH-P01-016 from which the undersigned is authorized to draw.

Dated: September 13, 2004

Respectfully submitted,

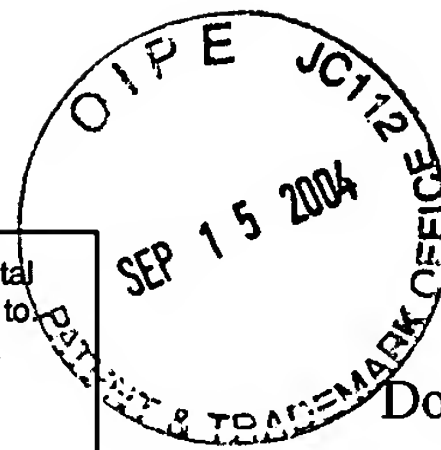
By [Signature]  
Z. Angela Guo

Registration No.: 54,144  
ROPES & GRAY LLP  
One International Place  
Boston, Massachusetts 02110-2624  
(617) 951-7000  
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Attorneys/Agents For Applicant

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**RESPONSE TO NOTICE TO COMPLY WITH REQUIREMENTS  
FOR PATENT APPLICATION CONTAINING NUCLEOTIDE  
SEQUENCE AND/OR AMINO ACID SEQUENCE DISCLOSURES**

MS Missing Parts  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

This amendment is submitted in response to the Notice To Comply with Sequence Requirements mailed from the Patent Office on July 20, 2004. A copy of the Notice to Comply is enclosed.

Transmitted herewith is a copy of the Substitute "Sequence Listing" in paper form (sheets 1 through 12) comprising SEQ ID NOS: 1-52 for the above-identified patent application as required by 37 C.F.R. §§ 1.825(a) and 1.821(c), and a copy of the Substitute "Sequence Listing" in computer readable form as required by 37 C.F.R. §§ 1.825(b) and 1.821(e). Please replace the "Sequence Listing" filed on June 14, 2004 (sheets 1 through 12) with the attached Substitute "Sequence Listing."

As required by 37 C.F.R. § 1.825(b), Applicant's Attorney hereby states that the contents of the Substitute "Sequence Listing" in paper form and in the computer readable form submitted

herewith are the same and, as required by 37 C.F.R. § 1.825(a), also states that the submission includes no new matter.

Applicants believe no fee is due with this response. However, if a fee is due, please charge our Deposit Account No. 18-1945, under Order No. CTCH-P01-016 from which the undersigned is authorized to draw.

Dated: September 13, 2004

Respectfully submitted,

By 

Z. Angela Guo

Registration No.: 54,144

ROPES & GRAY LLP

One International Place

Boston, Massachusetts 02110-2624

(617) 951-7000

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Attorneys/Agents For Applicant



SEP 15 2004  
UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
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P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

APPLICATION NUMBER	FILING OR 371 (c) DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/656,531	09/05/2003	David Baltimore	CTCH-P01-016

**CONFIRMATION NO. 8769**

28120  
ROPES & GRAY LLP  
ONE INTERNATIONAL PLACE  
BOSTON, MA 02110-2624

**FORMALITIES LETTER**



\*OC000000013282777\*

Date Mailed: 07/20/2004

**NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS  
CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE  
DISCLOSURES**

*Filing Date Granted*

Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file the items indicated below to avoid abandonment. Extensions of time may be obtained under the provisions of 37 CFR 1.136(a).

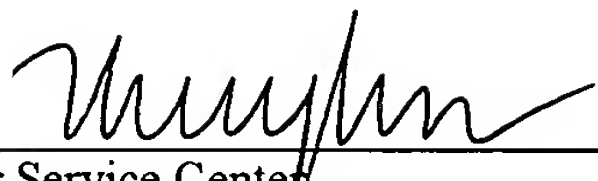
- A copy of the "Sequence Listing" in computer readable form has been submitted. However, the content of the computer readable form does not comply with the requirements of 37 CFR 1.822 and/or 1.823, as indicated on the attached copy of the marked -up "Raw Sequence Listing." Applicant must provide a substitute computer readable form (CRF) copy of the "Sequence Listing" and a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d).

**For questions regarding compliance to these requirements, please contact:**

- For Rules Interpretation, call (703) 308-4216
- To Purchase PatentIn Software, call (703) 306-2600
- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at [patin21help@uspto.gov](mailto:patin21help@uspto.gov) or [patin3help@uspto.gov](mailto:patin3help@uspto.gov)

Replies should be mailed to: Mail Stop Missing Parts  
Commissioner for Patents  
P.O. Box 1450  
Alexandria VA 22313-1450

*A copy of this notice **MUST** be returned with the reply.*

A handwritten signature in cursive script, appearing to read 'Munyon', is written over a horizontal line.

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE